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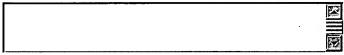
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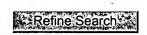
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## **Search History**

DATE: Monday, December 06, 2004 Printable Copy Create Case

Set Name side by side	Query	Hit Count	Set Name result set
DB=PGPB	P,USPT,USOC,EPAB,JPAB,DWPI,TDBD; PLUR=	YES; $OP = OR$	
<u>L9</u>	L8 and commoditi\$	141	<u>L9</u>
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<u>L4</u>	purchase near offer near seller	29	<u>L4</u>
<u>L3</u>	sale near purchase near offer near seller	0	<u>L3</u>
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L1	sale near offer near seller	14	<u>L1</u>

**END OF SEARCH HISTORY** 

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L9: Entry 109 of 141

File: USPT

Oct 17, 2000

US-PAT-NO: 6134536

DOCUMENT-IDENTIFIER: US 6134536 A

\*\* See image for Certificate of Correction \*\*

TITLE: Methods and apparatus relating to the formulation and trading of risk

management contracts

DATE-ISSUED: October 17, 2000

INVENTOR-INFORMATION:

CITY STATE ZIP CODE COUNTRY NAME

Shepherd; Ian Kenneth Toorak ΑU

ASSIGNEE-INFORMATION:

CITY STATE ZIP CODE COUNTRY TYPE CODE NAME

Swychco Infrastructure Services Pty Melbourne 03 AU

Ltd.

APPL-NO: 08/ 870691 DATE FILED: June 6, 1997

PARENT-CASE:

This application is a continuation-in-part of U.S. Ser. No. 08/070,136, now U.S. Pat. No. 5,970,479 May, 28, 1993 and further claims priority via PCT/AU95/00827, all commonly owned. Both U.S. Ser. No. 08/070,136 and PCT/AU95/00827 are incorporated by reference in their entireties herein.

FOREIGN-APPL-PRIORITY-DATA:

COUNTRY APPL-NO

APPL-DATE ΑU PL 2677

May 29, 1992 June 30, 1992 ΑU PL 3216

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/4, 705/80 \ US-CL-CURRENT:  $\frac{705}{37}$ ;  $\frac{705}{4}$ ,  $\frac{705}{80}$ 

FIELD-OF-SEARCH: 705/37, 705/1, 705/10, 705/4, 705/80

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

Search Selected ·· Search ALL

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
	3573747	April 1971	Adams et al.	340/172.5
	4346442	August 1982	Musmanno	364/408
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	4739478	April 1988	Roberts et al.	364/408
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	<u>4823264</u>	April 1989	Deming	364/408
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	<u>4839804</u>	June 1989	Roberts et al.	364/408
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ART-UNIT: 275

PRIMARY-EXAMINER: Swann; Tod R.

ASSISTANT-EXAMINER: Caudle; Penny

ATTY-AGENT-FIRM: Sterne, Kessler, Goldstein & Fox, P.L.L.C.

#### ABSTRACT:

Methods and apparatus which deal with the management of risk relating to specified, yet unknown, future events are disclosed.

`Sponsor` stakeholders specify a particular product relating to an event or phenomenon for which there is a range of possible future outcomes.

`Ordering` stakeholders then offer contracts relating to the predetermined phenomenon and corresponding range of outcomes. The offered contracts specify an entitlement or (pay-off) at the future time of maturity for each outcome, and a consideration (or premium) payable, in exchange, to a `counter-party` stakeholder.

Independently of the offered contracts, the `counter-party` stakeholders input data as to their view of the likelihood of occurrence of each outcome in the predetermined range into the future, or specifically at the predetermined date of maturity.

Each offered contract is priced by the processing units by calculating counterparty premiums from the registered data, and a match attempted by a comparison of the offered premium with the calculated premiums.

Matched contracts can be further traded until maturity, and at-maturity processing handles the exchange of entitlement as between the matched parties to the contract.

25 Claims, 43 Drawing figures

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